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Scelby

Attorney Docket No. YO999-527

IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

APPLICANT(S): Tetsunosuke Fujisaki
ASSIGNEE NAME: International Business
Machines Corporation
ASSIGNEE RESIDENCE: Armonk, New York
SERIAL NO.: 09/710,999
FILED: November 9, 2000
TITLE: **METHOD AND APPARATUS FOR NETWORK
MARKETING OF FINANCIAL SECURITIES**

"Express Mail" Label No.: EL659922156US

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated below and is addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit: April 17, 2001

Signature: Linda M. Schuchman

TRANSMITTAL OF MISSING PARTS

Assistant Commissioner for Patents
Washington, D.C. 20231

Box Missing Parts

SIR:

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In response to the Notice to File Missing Parts, dated March 16, 2001, Applicants submit herewith the following documents to complete the above-referenced patent application:

- (1) Declaration;
- (2) Assignment with Recordation Cover Sheet; and
- (3) Associate Power of Attorney.

A copy of the Notice is enclosed herewith. Please charge **IBM Corporation's Deposit Account No. 50-0510** the amount of \$130.00, to cover the surcharge under 37 CFR §1.16(e). *Duplicate copies of this letter are enclosed.* In the event of non-payment or improper payment of a required fee, the Commissioner is authorized to charge or to credit **Deposit Account No. 50-0510** as required to correct the error.

Respectfully,

Kevin M. Mason

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Reg. No. 36,597

Attorney for Applicant(s)

Date: April 17, 2001

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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/710,999	11/09/2000	Tetsunosuke Fujisaki	YO999-527

CONFIRMATION NO. 5835

FORMALITIES LETTER



OC000000005869526

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Date Mailed: 03/16/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION


FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

A copy of this notice MUST be returned with the reply.


Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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